

EXHIBIT 1

Credit Suisse (UK) Limited

Reference number: 124269

This firm is authorised for **specific activities and product types**. It's important to check the full record for what regulated activities this firm has permission to do.

There has been disciplinary or regulatory action involving this firm.

Firms we regulate may also carry out activities that are not regulated by either the FCA or the Prudential Regulation Authority (PRA). Complaints or claims about these unregulated activities may not be covered by the Financial Ombudsman Service (FOS) or the Financial Services Compensation Scheme (FSCS). If you are unsure whether an activity undertaken by a firm is regulated by us or the PRA, then you should ask the firm to confirm in writing what protections will be available to you if you need to make a complaint or claim compensation.

Notices

Disciplinary / regulatory action

This firm has been subject to disciplinary or regulatory action. That action may be historic or it may currently affect the regulated activities they are permitted to do. Check the record and contact the FCA if you need further help.

See the disciplinary or regulatory action involving this firm.

Clones of this firm

Individuals are using the details of this firm to suggest they work for the genuine firm. We call this a **cloned firm** and it is typically part of a scam.

To contact the genuine firm you should call the switchboard number listed on the Register - and contact us if it is not provided. Find out more about the clone firm(s):

Credit Suisse (UK) Limited (Clone of FCA authorised firm)

Added to the FS Register on 18 Nov 2019.

Credit Suisse Bonds / Suisse Capital Wealth Bonds (Clone of FCA authorised firms)

Added to the FS Register on 06 May 2021.

Credit Suisse PLC / Credit Suisse (UK) / Credit Suisse International (clone of FCA authorised firms)

Added to the FS Register on 10 Feb 2021.

Who is this firm?

Firm details



Check details about this firm's place of business, contact details, etc.

Address

One Cabot Square
London
E14 4QR
UNITED KINGDOM

Phone

4402078888888

Email

privatebanking.uk@credit-suisse.com

Website

www.credit-suisse.co.uk

Firm reference number

124269

Registered company number

[02009520](#)

Firm status



Check this firm's status and any additional regulatory information.

Status

Authorised
Since 01/12/2001

This firm is authorised for specific activities and product types. It's important to check the full record for what regulated activities this firm has permission to do.

Type

Regulated

Trading names



This firm currently trades under 1 trading names.

Current names

Showing 1 result out of 1

Name	Status	Effective from
Credit Suisse (UK) Limited	Registered	23 Jan 1997

Previous names

Showing 3 results out of 3

Name	Status	Effective from	Effective to
Credit Suisse (UK) Limited	Registered	08 Jan 1997	14 Jan 1997
Credit Suisse Asset Management Limited	Registered	25 Mar 1991	08 Jan 1997
Credit Suisse Buckmaster & Moore Ltd	Registered	25 Mar 1991	25 Mar 1991

How are customers protected?

Protections and support



Understand the protections you have when dealing with this firm, and how to make a complaint.

Customer protections and the Register

Regulated activities performed by regulated firms or individuals are covered by a range of protections. Some of these protections are not through the FCA but are primarily through the Financial Ombudsman Service and the Financial Services Compensation Scheme.

The protections available relate to specific regulated activities. We recommend that you check below for the activities that this firm has FCA and/or PRA permission to provide before going ahead. You should also contact the firm and ask them to confirm the specific protections available to you.

The Financial Ombudsman Service may be able to consider a complaint about this firm

Complaints about regulated activities that this firm has permissions for may be covered by the Financial Ombudsman Service. If you have complained to the firm and they haven't responded or you aren't satisfied with the response, you can contact the **Financial Ombudsman Service** (<https://www.financial-ombudsman.org.uk/>) for help.

The Financial Services Compensation Scheme may be able to consider a claim against this firm if it fails

The Financial Services Compensation Scheme (FSCS) doesn't apply to claims made in connection with consumer credit activities other than certain debt management business. However, claims made in connection with other regulated activities that this firm has permissions for may be covered by the Financial Services Compensation Scheme.

If this firm has failed, you should contact the **Financial Services Compensation Scheme (<https://www.fscs.org.uk/>)** to find out if it can help.

If you have a complaint about a firm

If you are concerned you've been scammed: consumers in England, Wales or Northern Ireland should immediately contact **FCA Contact Centre (<https://fca.org.uk/contact>)** and **Action Fraud (<https://www.actionfraud.police.uk/>)**; consumers in Scotland should immediately contact **FCA Contact Centre (<https://fca.org.uk/contact>)** and **Police Scotland. (<https://www.scotland.police.uk>)**.

Complain to the firm

Ian Michael Hale

One Cabot Square
London
London
E14 4QR
UNITED KINGDOM

+44 2078888888

compliance.pblondon@credit-suisse.com

www.credit-suisse.co.uk

Report to the FCA

If you have concerns about a firm listed on the Register, **contact the FCA directly. (<https://www.fca.org.uk/contact>)**.

If you suspect you have been contacted by an unauthorised firm or individual carrying out an FCA-regulated activity, report it to us using **this form. (<https://www.fca.org.uk/report-scam-unauthorised-firm-individual>)**.

Help using the Register

If you have any concerns or difficulties using the Register you can contact the FCA and we will talk you through the record and answer any queries you may have.

What can this firm do in the UK?

Restrictions



Check the requirements placed on this firm. Requirements are restrictions governing the regulated activities that this firm can do.

Client Money

This firm can hold and/or control customer deposits and client money. It will not usually need separate permission to hold and/or control client money but it must protect this money – it cannot lend it or use it to finance its own business.

Specific requirements may change this firm's ability to hold and/or control client money – see below for details.

Activities and services



Learn about the regulated activities that this firm has FCA and/or PRA permission to provide and other information related to specific non-regulated activities and services that may impact your business with a firm.

What to do with this information

These regulated activities are grouped into categories. You should check the specific activities within these categories relate to the business you want to do with the firm, not just the categories.

Firms we regulate may also carry out activities that are not regulated by either the FCA or the Prudential Regulation Authority (PRA). Complaints or claims about these unregulated activities may not be covered by the Financial Ombudsman Service (FOS) or the Financial Services Compensation Scheme (FSCS). If you are unsure whether an activity undertaken by a firm is regulated by us or the PRA, then you should ask the firm to confirm in writing what protections will be available to you if you need to make a complaint or claim compensation.

Once you have checked this page, you should contact the firm via their main contact details and ask them to confirm their permitted regulated activities.

If you don't understand whether the permissions cover the business you want to do, you should **contact the FCA.** (<https://www.fca.org.uk/contact>).

Banking



Accepting Deposits



Customer Type

All

Investment Type

Deposit

Insurance



Advising on investments (except on Pension Transfers and Pension Opt Outs)



LIMITATIONS

Customer Type

Commercial

Eligible Counterparty

Professional

Retail (Investment)

Retail (Non-Investment Insurance)

Investment Type

Non-investment insurance contracts

Limitation

Rights/interests - cont ltd to cont based inv

Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Arranging (bringing about) deals in investments



LIMITATIONS

Customer Type

Commercial
Eligible Counterparty
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Investment Type

Non-investment insurance contracts

Limitation

Rights/interests - cont ltd to cont based inv
Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Dealing in investments as agent

LIMITATIONS



Customer Type

Commercial
Eligible Counterparty
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Investment Type

Non-investment insurance contracts

Limitation

Rights/interests - cont ltd to cont based inv
Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Making arrangements with a view to transactions in investments



LIMITATIONS

Customer Type

Commercial
Eligible Counterparty
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Investment Type

Non-investment insurance contracts

Limitation

Rights/interests - cont ltd to cont based inv
Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Mortgages & home finance



Administering a regulated mortgage contract



Customer Type

Customer

Investment Type

Regulated mortgage contract

Advising on regulated mortgage contracts



Customer Type

Customer

Investment Type

Regulated mortgage contract

Arranging (bringing about) regulated mortgage contracts



Customer Type

Customer

Investment Type

Regulated mortgage contract

Entering into a regulated mortgage contract as lender



Customer Type

Customer

Investment Type

Regulated mortgage contract

Making arrangements with a view to regulated mortgage contracts



Customer Type

Customer

Investment Type

Regulated mortgage contract

Consumer credit



Credit Broking

Debt-counselling

LIMITATIONS



Limitation

Limited to counselling no debt management

This permission is limited to debt counselling with no debt management activity

**Entering into regulated credit agreement as Lender
(Excluding high-cost short-term credit, bill of sale
agreement, and home collected credit agreement)**

**Exercising/having right to exercise lender's rights
and duties under a regulated credit agreement
(excluding high-cost short-term credit, bill of sale
agreement, and home collected credit agreement)**

Pensions



Advising on investments (except on Pension Transfers and Pension Opt Outs)



LIMITATIONS

Customer Type

Commercial
Eligible Counterparty
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Investment Type

Personal pension scheme
Stakeholder pension scheme

Limitation

Rights/interests - cont ltd to cont based inv
Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Arranging (bringing about) deals in investments



LIMITATIONS

Customer Type

Commercial
Eligible Counterparty
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Investment Type

Personal pension scheme
Stakeholder pension scheme

Limitation

Rights/interests - cont ltd to cont based inv
Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Arranging safeguarding and administration of assets

LIMITATIONS



Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Personal pension scheme
Stakeholder pension scheme

Limitation

Rights/interests - cont ltd to cont based inv
Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Causing dematerialised instructions to be sent

LIMITATIONS



Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Personal pension scheme
Stakeholder pension scheme

Limitation

Rights/interests - sec ltd to securities listed
Investment activity in "rights to or interests in investments (security)" is limited to the investment types granted for this activity.

Dealing in investments as agent

LIMITATIONS



Customer Type

Commercial
Eligible Counterparty
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Investment Type

Personal pension scheme
Stakeholder pension scheme

Limitation

Rights/interests - cont ltd to cont based inv

Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Making arrangements with a view to transactions in investments



LIMITATIONS

Customer Type

Commercial
Eligible Counterparty
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Investment Type

Personal pension scheme
Stakeholder pension scheme

Limitation

Rights/interests - cont ltd to cont based inv
Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Safeguarding and administration of assets (without arranging)



LIMITATIONS

Investment Type

Personal pension scheme
Stakeholder pension scheme

Limitation

Rights/interests - cont ltd to cont based inv

Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Sending dematerialised instructions

LIMITATIONS



Customer Type

Eligible Counterparty

Professional

Retail (Investment)

Investment Type

Personal pension scheme

Stakeholder pension scheme

Limitation

Rights/interests - sec ltd to securities listed

Investment activity in "rights to or interests in investments (security)" is limited to the investment types granted for this activity.

Investments



Advising on investments (except on Pension Transfers and Pension Opt Outs)

LIMITATIONS



Customer Type

Commercial

Eligible Counterparty
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Investment Type

Alternative Debenture
Certificates representing certain security
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
Life Policy
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Share
Spread Bet
Structured Deposits
Unit
Warrant

Limitation

Rights/interests - cont ltd to cont based inv
Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Advising on P2P agreements



Customer Type

Commercial
Eligible Counterparty
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Arranging (bringing about) deals in investments

LIMITATIONS



Customer Type

Commercial
Eligible Counterparty
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Investment Type

Alternative Debenture
Certificates representing certain security
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
Life Policy
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Share
Spread Bet
Structured Deposits
Unit
Warrant

Limitation

Rights/interests - cont ltd to cont based inv
Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Arranging safeguarding and administration of assets



LIMITATIONS

Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Alternative Debenture
Certificates representing certain security
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
Life Policy
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Rolling spot forex contract
Share
Spread Bet
Unit
Warrant

Limitation

Rights/interests - cont ltd to cont based inv
Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Causing dematerialised instructions to be sent

LIMITATIONS



Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Alternative Debenture
Certificates representing certain security
Debenture
Government and public security
Rights to or interests in investments (Security)
Share
Unit
Warrant

Limitation

Rights/interests - sec ltd to securities listed
Investment activity in "rights to or interests in investments (security)" is limited to the investment types granted for this activity.

Dealing in investments as agent

LIMITATIONS



Customer Type

Commercial
Eligible Counterparty
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Investment Type

Alternative Debenture
Certificates representing certain security
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
Life Policy
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Share
Spread Bet
Structured Deposits
Unit
Warrant

Limitation

Rights/interests - cont ltd to cont based inv
Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Dealing in investments as principal

LIMITATIONS



Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Alternative Debenture
Certificates representing certain security

Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Share
Spread Bet
Warrant

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Making arrangements with a view to transactions in investments

LIMITATIONS



Customer Type

Commercial
Eligible Counterparty
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Investment Type

Alternative Debenture
Certificates representing certain security
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)

Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
Life Policy
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Share
Spread Bet
Structured Deposits
Unit
Warrant

Limitation

Rights/interests - cont ltd to cont based inv
Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Managing investments

LIMITATIONS



Customer Type

Eligible Counterparty
Professional
Retail (Investment)

Investment Type

Alternative Debenture
Certificates representing certain security
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
Option (excluding a commodity option and an option on a commodity future)

Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Share
Spread Bet
Structured Deposits
Unit
Warrant

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Safeguarding and administration of assets (without arranging)



LIMITATIONS

Investment Type

Alternative Debenture
Certificates representing certain security
Commodity Future
Commodity option and option on commodity future
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
Debenture
Future (excluding a commodity future and a rolling spot forex contract)
Government and public security
Life Policy
Option (excluding a commodity option and an option on a commodity future)
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Rolling spot forex contract
Share
Spread Bet
Unit
Warrant

Limitation

Rights/interests - cont ltd to cont based inv

Investment activity in "rights to or interests in investments (contractually based)" is limited to investment types granted for this activity.

Sending dematerialised instructions

LIMITATIONS



Customer Type

Eligible Counterparty

Professional

Retail (Investment)

Investment Type

Alternative Debenture

Certificates representing certain security

Debenture

Government and public security

Rights to or interests in investments (Security)

Share

Unit

Warrant

Limitation

Rights/interests - sec ltd to securities listed

Investment activity in "rights to or interests in investments (security)" is limited to the investment types granted for this activity.

Other activities



Agreeing to carry on a regulated activity

LIMITATIONS



Limitation

Limited to carry on regulated activities.

The firm can only agree to carry on the regulated activities specified in this Notice.

The FCA is required to display some information related to certain non-regulated activities. Firms may do other business that is not regulated. You should check with the firm what business it carries out that isn't regulated and what your protections may be.

Insurance Distribution

A firm that offers or sells insurance products and services.

This firm is able to undertake insurance distribution.

Consumer buy-to-let Status

Registered

Since 21 Mar 2016

Consumer buy-to-let Business

Consumer buy-to-let lender

Consumer buy-to-let administrator

Waivers, discretions, and exclusions



Current waivers, discretions, and exclusions we hold for this firm.

Waivers and discretions

A firm can apply for a waiver (or change) from our rules or, in some situations, certain discretions set out in articles with European Directives. This table shows the current waivers and discretions we currently hold for this firm.

Showing 4 results out of 4

Waivers/Discretions

Rule/Article No.

Waivers/Discretions	Rule/Article No.
<u>A5435059P.pdf</u> (pdf / 0.195MB)	DepositProtection Ru.13.4
	DepositProtection Ru.13.5
	DepositProtection Ru.13.6
	DepositProtection Ru.13.7
	DepositProtection Ru.13.8
	DepositProtection Ru.15.2
	DepositProtection Ru.15.7
	DepositProtection Ru.15.4
	DepositProtection Ru.15.3
<u>00002166.pdf</u> (pdf / 0.345MB)	Perm & Wav - CRR CA.BU. 5.1-5.5
<u>00004126.pdf</u> (pdf / 0.385MB)	Perm & Wav - CRR CA.BU. 5.1-5.5
<u>A1850092P.pdf</u> (pdf / 0.150MB)	CRR Ar.26 (3)

Who is involved with activities at this firm?

Individuals



Individuals currently and previously involved in regulated activities at this firm.

You should check the details of any individual that you want to carry out regulated activities on your behalf, especially their current roles and any disciplinary or regulatory action on their record.

Current

Showing 10 results out of 127

Name	Individual reference number	Status	Role
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Name	Individual reference number	Status	Role
<u>Sandy Kinney Pritchard</u>	ABK01017	Approved by regulator	SMF11 Chair of the Audit Committee SMF12 Chair of the Remuneration Committee
<u>Christopher Wood</u>	CXW01207	Approved by regulator	[FCA CF] Functions requiring qualifications [FCA CF] Material risk taker
		Certified / assessed by firm	SMF18 Other Overall Responsibility 2. Giving personal recommendations on securities which are not stakeholder pension schemes or personal pension schemes or broker funds 3. Giving personal recommendations on derivatives 12. Giving personal recommendations on and dealing in securities which are not stakeholder pension schemes or personal pension schemes or broker funds 13. Giving personal recommendations on and dealing with derivatives
<u>Ian Michael Hale</u>	IMH01034	Approved by regulator	[FCA CF] Material risk taker SMF4 Chief Risk
		Certified / assessed by firm	
<u>Emma Brown</u>	ELB01081	Approved by regulator	[FCA CF] Material risk taker SMF5 Head of Internal Audit
		Certified / assessed by firm	

Name	Individual reference number	Status	Role
<u>Jeremy Lewis</u>	JXL43251	Approved by regulator	SMF24 Chief Operations
		Certified / assessed by firm	
<u>Richard Metcalf</u>	RXM01661	Approved by regulator	[FCA CF] Material risk taker SMF10 Chair of the Risk Committee
		Certified / assessed by firm	
<u>Victoria Buck</u>	VXB01351	Approved by regulator	[FCA CF] Material risk taker SMF18 Other Overall Responsibility
		Certified / assessed by firm	
<u>Maureen Anne Erasmus</u>	MAE01133	Approved by regulator	[FCA CF] Material risk taker SMF9 Chair of the Governing Body
		Certified / assessed by firm	
<u>Simon Politzer</u>	SXP02714	Approved by regulator	[FCA CF] Material risk taker SMF24 Chief Operations
		Certified / assessed by firm	

Name	Individual reference number	Status	Role
<u>Russell Brennan</u>	RGB01127	Approved by regulator	[FCA CF] Functions requiring qualifications [FCA CF] Material risk taker
		Certified / assessed by firm	SMF18 Other Overall Responsibility 2. Giving personal recommendations on securities which are not stakeholder pension schemes or personal pension schemes or broker funds 12. Giving personal recommendations on and dealing in securities which are not stakeholder pension schemes or personal pension schemes or broker funds 13. Giving personal recommendations on and dealing with derivatives

Previous

Showing 10 results out of 801

Name	Individual reference number	Role
<u>Garrett Paul Curran</u>	GPC01038	CF1 Director
<u>Graeme Miller Russell</u>	GMR01030	CF10 Compliance Oversight
<u>Philip Martin Cutts</u>	PMC01056	CF1 Director CF3 Chief Executive CF30 Customer Responsible for Insurance Mediation
<u>Richard William Killingbeck</u>	RWK01011	CF30 Customer

Name	Individual reference number	Role
<u>Gregory Evans</u>	GXE01196	CF30 Customer
<u>John Samuel Ward Owen</u>	JSO01011	CF30 Customer
<u>Fawzi Sami Kyriakos-Saad</u>	FSK01002	CF1 Director
<u>Giles Alistair White</u>	GAW01054	CF21 Investment Adviser
<u>Graham Ian Noble</u>	GIN00001	CF21 Investment Adviser
<u>Sarah-Jane Maidens</u>	SXM01392	CF1 Director
		CF10 Compliance Oversight
		CF11 Money Laundering Reporting

What can this firm do in the European Economic Area?

Passport out



Regulated activities this firm can offer in other EEA countries.

A 'passport' enables this authorised firm to provide financial products or services, set up a base, or carry on its permitted activities in Gibraltar.

Select country

GIBRALTAR

✓

Country

GIBRALTAR

Directive

Banking Consolidation Directive

Passport type

Service

* - additional MiFID services and activities subject to mutual recognition under the BCD

- 1 - Acceptance of deposits and other repayable funds from the public
- 2 - Lending including consumer credit, mortgage credit, factoring and financing of commercial transactions
- 3 - Financial leasing
- 4 - Payment services as defined in Article 4(3) of Directive 2007/64/EC of the European Parliament and of the Council of 13 November 2007 on payment services in the internal market(*)
- 5 - Issuing and administering other means of payment (e.g. travellers' cheques and bankers' drafts) insofar as this activity is not covered by point 4
- 6 - Guarantees and commitments
- 7a - Trading for own account or for account of customers - money market instruments (cheques, bills, CDs etc)
- 7b - Trading for own account or for account of customers - foreign exchange
- 7c - Trading for own account or for account of customers - financial futures and options
- 7d - Trading for own account or for account of customers - exchange and interest rate instruments
- 7e - Trading for own account or for account of customers - transferrable securities
- 8 - Participation in securities issues and the provision of services related to such issues
- 9 - Advice to undertakings on capital structure, industrial strategy and related questions and advice and services relating to mergers and the purchase of undertakings
- 10 - Money broking
- 11 - Portfolio management and advice
- 12 - Safekeeping and administration of securities
- 13 - Credit reference services
- 14 - Safe custody services

Country

GIBRALTAR

Directive

Markets in Financial Instruments Directive

Passport type

Service

A(1) Reception and transmission of orders in relation to one or more financial instruments

Investment Types

A(2) Execution of orders on behalf of clients

Investment Types

A(3) Dealing on own account

Investment Types

A(4) Portfolio management

Investment Types

A(5) Investment advice

Investment Types

A(6) Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis

Investment Types

A(7) Placing of financial instruments without a firm commitment basis

Investment Types

B(1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management

Investment Types

B(2) Granting credits or loans to an investor to allow him to carry out a transaction in one or more financial instruments, where the firm granting the credit or loan is involved in the transaction

Investment Types

B(3) Advice to undertakings on capital structure, industrial strategy and related matters and advice and services relating to mergers and the purchase of undertakings

Investment Types

B(4) Foreign exchange services where these are connected to the provision of investment services

Investment Types

B(5) Investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments

Investment Types

B(6) Services related to underwriting

Investment Types

B(7) Investment services / activities / ancillary services of the type included in Sec. A/ B of Annex 1 related to the underlying of derivatives included under Sec. C - 5, 6, 7 and 10 - where connected to provision of investment or ancillary services

Investment Types

Who is this firm connected to?

Regulators



Current and former regulators of this firm.

This table shows the former and current regulators of this firm, in the UK and in other European Economic Area (EEA) countries.

Showing 5 results out of 5

Regulator	Effective from	Effective to
Financial Conduct Authority	01 Apr 2013	
Financial Services Authority	01 Dec 2001	31 Mar 2013
London Stock Exchange	29 Apr 1988	
Prudential Regulation Authority	01 Apr 2013	
Securities and Futures Authority	29 Apr 1988	30 Nov 2001

Disciplinary and regulatory action

Disciplinary and regulatory action



Actions taken by the FCA and/or PRA against this firm.

This section includes:

- Supervisory, disciplinary and civil regulatory action (but not criminal action) the FCA and/or PRA has taken, has decided to take, or has proposed to take and considers appropriate to publish.
- Civil penalties, including fines, that the FCA has imposed or has decided to impose.
- Enforcement can take different forms such as fines or removal of authorised status, as laid out in the Financial Services and Markets Act 2000 (FSMA) or the Payment Services Directive (PSD). These will be noted in the column 'Enforcement Type' if relevant.

This section does not include:

- action taken by other enforcement agencies, including the Police, Serious Fraud Office and the Competition and Markets Authority
- action taken by foreign regulators

25 Oct 2011

Fines

More information

Enforcement Type FSMA